



IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Joubert Berger et al.

Confirmation No.:

Application No.: 09/896,385

Examiner: N/A

Filing Date: June 28, 2001

Group Art Unit: N/A

Title: SYSTEM AND METHOD FOR MANAGEMENT OF COMPARTMENTS IN A TRUSTED  
OPERATING SYSTEM

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

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Sir:

This Information Disclosure Statement is submitted:

- (X) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- ( ) under 37 CFR 1.97 (c) together with either a:
  - ( ) Statement under 37 CFR 1.97(e), or
  - ( ) a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ( ) under 37 CFR 1.97 (d) together with a:
  - ( ) Statement under 37 CFR 1.97(e), and
  - ( ) a petition under 37 CFR 1.97(d)(2), and
  - ( ) a \$180.00 petition fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

Please charge to Deposit Account 08-2025 the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account 08-2025 pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

Joubert Berger et al.

By

Jody C. Bish p

Attorney/Agent for Applicant(s)  
Reg. No. 44,034

Date: March 25, 2002

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: March 25, 2002

Typed Name: Gail L. Miller

Signature: *Gail L. Miller*

**PATENT APPLICATION**

Sheet 1 of 3

FORM PTO-1449

ATTY. DOCKET NO.

10013499-1

APPLICATION NO.

09/896,385

CONFIRMATION NO.

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT**

(Use several sheets if necessary)

APPLICANT

Joubert Berger et al.

FILING DATE

June 29, 2001

GROUP

N/A

**REFERENCE DESIGNATION****U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	1A					
	1B					
	1C					
	1D					
	1E					
	1F					
	1G					
	1H					
	1I					
	1J					
	1K					

**RECEIVED****APR 05 2002****Technology Center 2100****FOREIGN PATENT DOCUMENTS**

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
	1L							
	1M							
	1N							
	1O							
	1P							

**OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)**

1Q	Hewlett-Packard Virtual Vault "Administrator's Guide," HP Part No. B5413-90061, Release A.04.50, E0401, printed 2001, pages ii-xii, and 1-224. Available online at <a href="http://docs.hp.com/hpux/pdf/B5413-90061.pdf">http://docs.hp.com/hpux/pdf/B5413-90061.pdf</a> .
1R	Hewlett-Packard Trusted Solaris Administration Overview, Chapter 3, "Administering Trusted Networking," - December 2000, pages 71-78. Available online at <a href="http://docs.sun.com/ab2/coll.175.4/TRSOLADMINOV/@Ab2PageView/4120?Ab2Lang=C&amp;Ab2Enc=820-8859-1">http://docs.sun.com/ab2/coll.175.4/TRSOLADMINOV/@Ab2PageView/4120?Ab2Lang=C&amp;Ab2Enc=820-8859-1</a> .
1S	Hewlett-Packard Trusted solaris Administration Overview, Chapter 4, "Administering Auditing," - December 2000, pages 87-99. Available online at <a href="http://docs.sun.com/ab2/coll.175.4/TRSOLADMINOV/@Ab2PageView/5573?Ab2Lang=C&amp;Ab2Enc=iso-8859-1">http://docs.sun.com/ab2/coll.175.4/TRSOLADMINOV/@Ab2PageView/5573?Ab2Lang=C&amp;Ab2Enc=iso-8859-1</a> .

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## PATENT APPLICATION

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FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
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STATEMENT

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ATTY. DOCKET NO.

10013502-1

APPLICATION NO.

09/896,351

CONFIRMATION NO.

APPLICANT

J ubert Berger t al.

FILING DATE

June 29, 2001

GROUP

N/A

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
	2A					
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							YES	NO
	2L							
	2M							
	2N							
	2O							
	2P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

2Q	HP Praesidium VirtualVault "Concepts Guide," HP Part No. B5413-90051, Release A.04.00, E1199, printed 199, pages ii-viii, and 1-82. Available on-line at <a href="http://docs.hp.com/hpux/pdf/B5413-90051.pdf">http://docs.hp.com/hpux/pdf/B5413-90051.pdf</a> .
2R	Sun Microsystems "Trusted Solaris Audit Administration," Trusted Solaris 8, Sun Microsystems Part No. 805-8121-10, December 2000, pages 1-342. Available on-line at <a href="http://docs.sun.com/ab2/coll.175.4/TRSOLAUDADMIN/@Ab2TocView?AAb2Lang=C&amp;Ab2Enc=iso-8859-1">http://docs.sun.com/ab2/coll.175.4/TRSOLAUDADMIN/@Ab2TocView?AAb2Lang=C&amp;Ab2Enc=iso-8859-1</a> .
2S	Sun Microsystems "Compartmented Mode Workstation Labeling: Encodings Format," Sun Microsystems Part No. 805-8123, December 2000, pages 1-176. Available on-line at <a href="http://docs.sun.com/ab2/coll.175.4/TRSOLLBLADMIN/@Ab2TocView?Ab2Lang=C&amp;Ab2Enc=iso-8859-1">http://docs.sun.com/ab2/coll.175.4/TRSOLLBLADMIN/@Ab2TocView?Ab2Lang=C&amp;Ab2Enc=iso-8859-1</a> .

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## PATENT APPLICATION

Sheet 3 of 3

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	3P							

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

3Q	Sun Microsystems "Trusted Solaris User's Guide," Sun Microsystems Part No. 805-8115-10, December 2000, pages 1-133. Available on-line at <a href="http://docs.sun.com/ab2/coll.175.4/TRSSUG/@Ab2TocView?Ab2Lang=C&amp;Ab2Enc=iso-8859-1">http://docs.sun.com/ab2/coll.175.4/TRSSUG/@Ab2TocView?Ab2Lang=C&amp;Ab2Enc=iso-8859-1</a> .
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